

11011 U.S. PTO  
09/07/01  
06/06/01

Certificate of Mailing: Date of Deposit: <u>June 6, 2001</u>	
I hereby certify under 37 C.F.R. § 1.8(a) that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.	
<u>Guy Beardsley</u>	<u>Guy Beardsley</u>
Printed name of person mailing correspondence	Signature of person mailing correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Gordon C. Shore et al.	Art Unit:	Not yet assigned
Serial No.:	Not yet assigned	Examiner:	Not yet assigned
Filed:	June 6, 2001	Customer No.:	21559
Title:	BAX-MEDIATED APOPTOSIS MODULATING REAGENTS AND METHODS		

Assistant Commissioner For Patents  
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Applicants submit the references listed on the attached form PTO-1449.

Submission of this statement is not a representation that a search has been made, nor is information included in this statement an admission that the information is material to patentability.

Under 35 U.S.C. § 120, this application relies on the earlier filing date of application serial number 09/166,028, filed on October 5, 1998. The following references were submitted to and/or cited by the Office in the prior application and, therefore, are not provided in this application.

If there are any other charges, or any credits, please apply them to Deposit Account No. 03-2095.

Respectfully submitted,

Date: 6 June 2001

KAREN L. ELBING  
REG NO 35,238  
Kristina Bieker-Brady, Ph.D.  
Reg. No. 39,109

Clark & Elbing LLP  
176 Federal Street  
Boston, MA 02110  
Telephone: 617-428-0200  
Facsimile: 617-428-7045



21559

PATENT TRADEMARK OFFICE

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket No.		50013/011001	
				Serial No.		09/166,028	
				Applicant		Gordon C. Shore et al.	
				Filing Date		October 5, 1998	
				Group		1641	
				IDS Filed		April 20, 1999	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)							
(37 CFR §1.98(b))							
U.S. PATENTS							
Examiner's Initials	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date (If Appropriate)	
	5,691,179	11/25/97	Korsmeyer				
	5,700,638	12/23/97	Korsmeyer				
FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION							
Examiner's Initials	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation (Yes/No)	
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PLACE OF PUBLICATION)							
	Antonsson et al., "Inhibition of Bax channel-forming activity by Bcl-2" <i>Science</i> 277:370-372 (1997)						
	Apte et al., "Mapping of the human BAX gene to chromosome 19q13.3-q13.4 and isolation of a novel alternatively spliced transcript, BAX delta" <i>Genomics</i> 26:592-594 (1995)						
	Cheng et al., "Bax-independent inhibition of apoptosis by Bcl-X <sub>L</sub> " <i>Nature</i> 379:554-556 (1996)						
	Gross et al., "Enforced dimerization of BAX results in its translocation, mitochondrial dysfunction and apoptosis" <i>EMBO J.</i> 17:3878-3885 (1998)						
	Hengartner, "Death cycle and Swiss army knives" <i>Nature</i> 391:441-442 (1998)						
	Hockenbery et al., "Bcl-2 is an inner mitochondrial membrane protein that blocks programmed cell death" <i>Nature</i> 348:334-336 (1990)						
	Hunter et al., "A peptide sequence from Bax that converts Bcl-2 into an activator of apoptosis" <i>J. Biol. Chem.</i> 271:8521-8524 (1996)						
	Hsu et al., "Cytosol-to-membrane redistribution of Bax and Bcl-X <sub>L</sub> during apoptosis" <i>Proc. Natl. Acad. Sci. USA</i> 94:3668-3672 (1997)						
	Jürgensmeier et al., "Bax directly induces release of cytochrome c from isolated mitochondria" <i>Proc. Natl. Acad. Sci. USA</i> 95:4997-5002 (1998)						
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.							

11011 U.S. PTO  
09/076204  
06/06/01

SUBSTITUTE FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE		Attorney Docket No.		50013/011001		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Serial No.		09/166,028		
		Applicant		Gordon C. Shore et al.		
		Filing Date		October 5, 1998		
		Group		1641		
		IDS Filed		April 20, 1999		
(37 CFR §1.98(b))						
U.S. PATENTS						
Examiner's Initials	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date (If Appropriate)
FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION						
Examiner's Initials	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation (Yes/No)
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PLACE OF PUBLICATION)						
	Kluck et al., "The release of cytochrome c from mitochondria: a primary site for Bcl-2 regulation of apoptosis" <i>Science</i> 275:1132-1136 (1997)					
	Knudson et al., "Bcl-2 and Bax function independently to regulate cell death" <i>Nature Genet.</i> 16:358-363 (1997)					
	Krajewski et al., "Investigation of the subcellular distribution of the Bcl-2 oncoprotein: residence in the nuclear envelope, endoplasmic reticulum, and outer mitochondrial membranes" <i>Cancer Res.</i> 53:4701-4714 (1993)					
	Kroemer, "The proto-oncogene Bcl-2 and its role in regulating apoptosis" <i>Nature Med.</i> 3:614-620 (1997)					
	Li et al., "Cytochrome c and dATP-dependent formation of Apaf-1/Caspase-9 complex initiates an apoptotic protease cascade" <i>Cell</i> 91:479-489 (1997)					
	Li et al., "Cleavage of BID by Caspase 8 mediates the mitochondrial damage in the Fas pathway of apoptosis" <i>Cell</i> 94:491-501 (1998)					
	Luo et al., "Bid, a Bcl12 interacting protein, mediates cytochrome c release from mitochondria in response to activation of cell surface death receptors" <i>Cell</i> 94:481-490 (1998)					
	McCarthy et al., "Inhibition of Ced-3/ICE-related proteases does not prevent cell death induced by oncogenes, DNA damage, or the Bcl-2 homologue Bak" <i>J. Cell Biol.</i> 136:215-227 (1997)					
	Nguyen et al., "Targeting of Bcl-2 to the mitochondrial outer membrane by a COOH-terminal signal anchor sequence" <i>J. Biol. Chem.</i> 268:25265-25268 (1993)					
	Nguyen et al., "Role of membrane anchor domain of Bcl-2 in suppression of apoptosis caused by E1B-defective adenovirus" <i>J. Biol. Chem.</i> 269:16521-16524 (1994)					
EXAMINER			DATE CONSIDERED			
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.						

SUBSTITUTE FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)				Attorney Docket No. 50013/011001  Serial No. 09/166,028  Applicant Gordon C. Shore et al.  Filing Date October 5, 1998  Group 1641  IDS Filed April 20, 1999		
U.S. PATENTS						
Examiner's Initials	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date (If Appropriate)
FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION						
Examiner's Initials	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation (Yes/No)
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PLACE OF PUBLICATION)						
	Oltvai et al., "Bcl-2 heterodimerizes in vivo with a conserved homolog, Bax, that accelerates programmed cell death" <i>Cell</i> 74:609-619 (1993)					
	Pan et al., "Caspase-9, Bcl-X <sub>L</sub> , and Apaf-1 form a ternary complex" <i>J. Biol. Chem.</i> 273:5841-5845 (1998)					
	Reed, "Cytochrome c: can't live with it-can't live without it" <i>Cell</i> 91:559-562 (1997)					
	Rossé et al., "Bcl-2 prolongs cell survival after Bax-induced release of cytochrome c" <i>Nature</i> 391:496-499 (1998)					
	Schlesinger et al., "Comparison of the ion channel characteristics of proapoptotic BAX and antiapoptotic BCL-2" <i>Proc. Natl. Acad. Sci. USA</i> 94:11357-11362 (1997)					
	Wolter et al., "Movement of Bax from the cytosol to mitochondria during apoptosis" <i>J. Cell Biol.</i> 139:1281-1292 (1997)					
	Xiang et al., "BAX-induced cell death may not require interleukin 1 $\beta$ -converting enzyme-like proteases" <i>Proc. Natl. Acad. Sci. USA</i> 93:14559-14563 (1996)					
	Yang et al., "Molecular Thanatopsis: a discourse on the BCL-2 family and cell death" <i>Blood</i> 88:386-401 (1996)					
	Yang et al., "Prevention of apoptosis by Bcl-2: release of cytochrome c from mitochondria blocked" <i>Science</i> 275:1129-1132 (1997)					
	Zha et al., "Proapoptotic protein Bax heterodimerizes with Bcl-2 and homodimerizes with Bax via a novel domain (BH3) distinct from BH1 and BH2" <i>J. Biol. Chem.</i> 271:7440-7444 (1996)					
	Zhivotovsky et al., "Injected cytochrome c induces apoptosis" <i>Nature</i> 39:449-450 (1998)					
EXAMINER				DATE CONSIDERED		
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.						